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HQOWI 7410-J012B
Effective Date: 10/31/00

Responsible Office: Code JE/Environmental Management Division
Subject: Environmental Compliance & Restoration Budget Formulation & Execution

Office of Management Systems

Office Work Instruction

Environmental Compliance & Restoration Budget Formulation & Execution

Original Approved By: _____
Jeffrey E. Sutton
Associate Administrator, Office of Management Systems

Responsible Office: Code JE/Environmental Management Division
Subject: Environmental Compliance & Restoration Budget Formulation & Execution

DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		12/06/99	
Revision	A	04/26/00	Revisions reflect review of HQOWIs to address Pre-Assessment Audit of Feb 2000, as follows: (1) Updated Reference 4.2 to reflect formal approval; (2) Corrected technical errors in flowchart to make consistent with new revisions of HCP 1400-1.
Revision	B	10/31/00	Revisions reflect review of HQOWI to address fundamental dependency review by the Office of the Chief Financial Officer and to update Program coordination process.

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1.0 Purpose

The purpose of this procedure is to document the process used by the Environmental Management Division (Code JE) in formulating and executing the Agency Environmental Compliance and Restoration (ECR) Program budget.

2.0 Scope and Applicability

Scope

This Office Work Instruction (OWI) covers the annual process of formulating and executing the ECR Program budget at Headquarters.

Applicability

This instruction applies to Code JE personnel involved in formulating and executing the ECR Program budget, including the management, prioritization and approval of activities within the ECR Program. Code JE has lead responsibility for formulating, coordinating review and approval of the annual ECR Program budget. The Office of the Chief Financial Officer (Code B) has responsibility for the overall NASA budget formulation process.
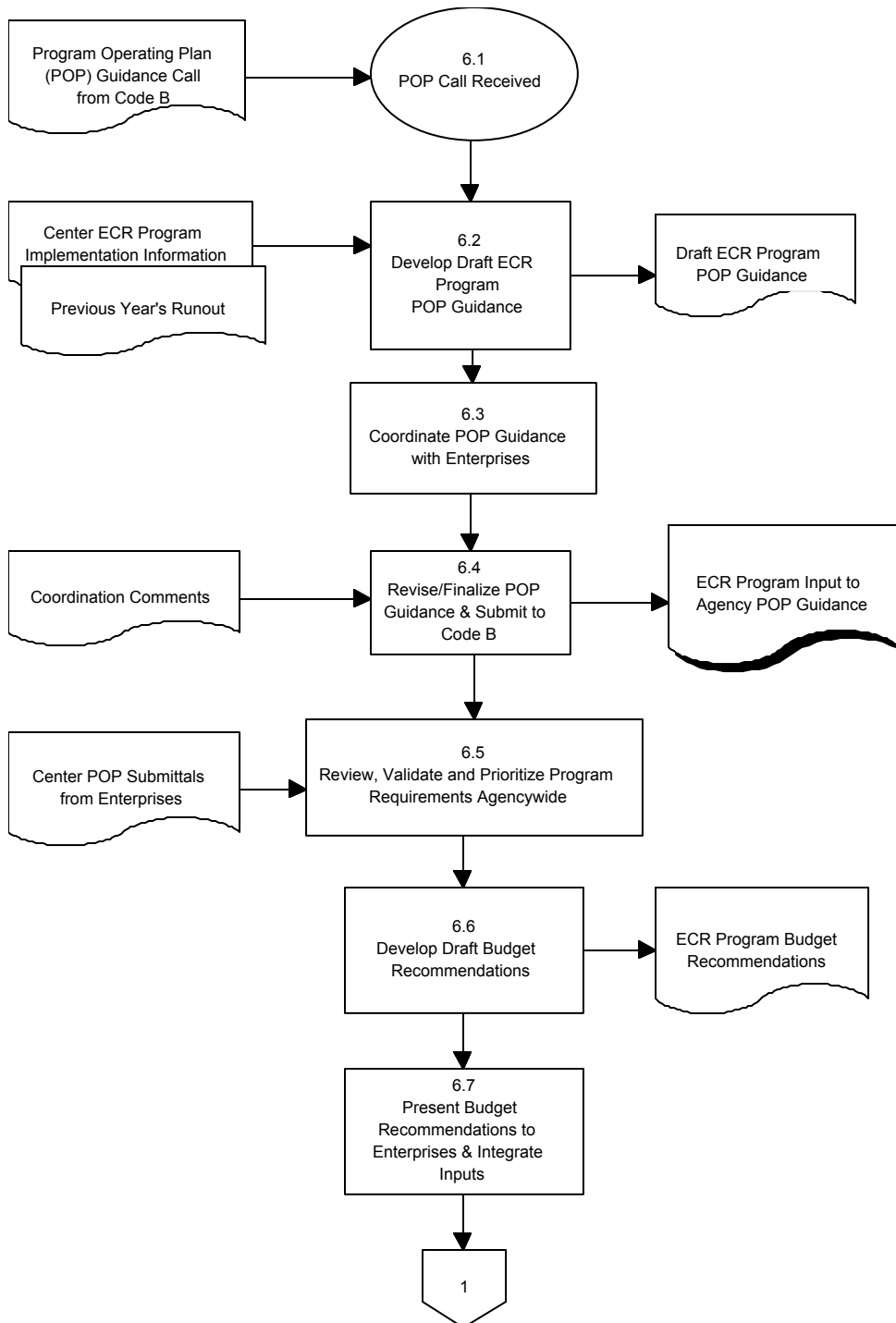
3.0 Definitions

3.1   AA Associate Administrator, Code J. The Associate Administrator for the Office of Management Systems at Headquarters.

3.2   CFO The NASA Chief Financial Officer at Headquarters.

3.3   CIC The Capital Investment Council. A decision-making body establishing Agency investment decisions for achievement of Agency program and institutional goals.

3.3   Code JE   The Environmental Management Division, under the Office of Management Systems.

3.4   Code B The Office of the Chief Financial Officer at Headquarters.

3.5   Code L The Office of Legislative Affairs at Headquarters.

3.6   EMB   Environmental Management Board. The EMB is made up of each Center or Component Facility Environmental Manager and Headquarters Institutional Program Officer, and chaired by the AA for Code J or designee.

3.7   IFMS   Integrated Financial Management System. NASA's electronic financial system. IFMS contains a module that tracks budget data Agencywide. Access to information in the database is controlled by Code B. Code JE and Resources Team have limited access to the data in the module.

3.8   POP   Agency Program Operating Plan.

3.9   Resources Team A group within Code J, under the Facilities Management Division that supports Code JE in preparing funding documentation for activities within the ECR Program.

3.10   SMC Senior Management Council. A decision-making body establishing the Agency Strategic Plan, evaluating Performance Plans, and reviewing issues affecting NASA management.
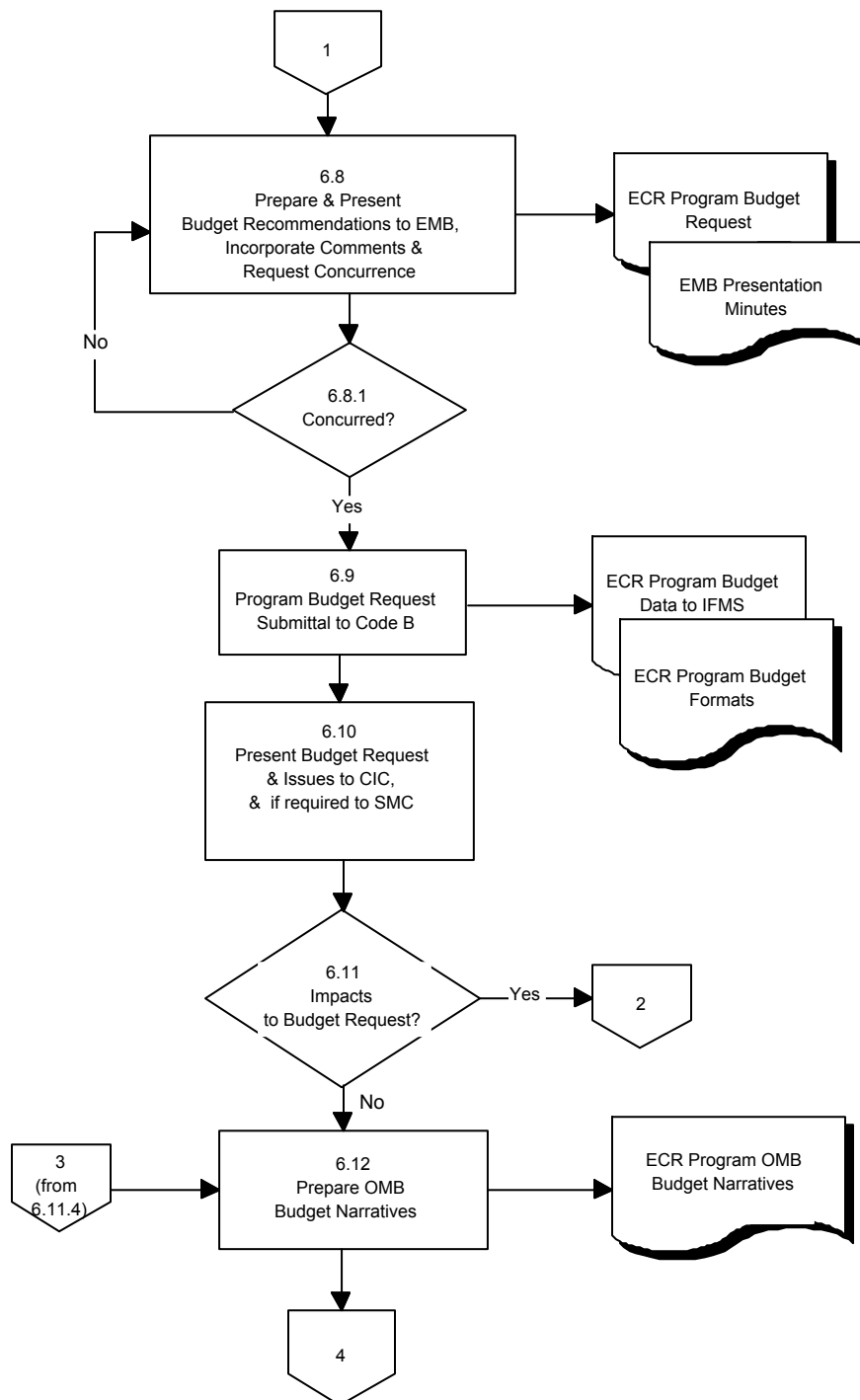
4.0 References

4.1   Office of Management Systems, Functional /Staff Office Implementation Plan, May 1998.

4.2   NPD 8500.1   NASA Environmental Management

4.3   Environmental Management Division, Annual Operating Plan, FY 1999.

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5.0   Flowchart

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┌──────────────────────┐                    ╭──────────────────╮
│ Program Operating Plan│                   ╱         6.1        ╲
│ (POP) Guidance Call   │─────────────────▶│  POP Call Received  │
│ from Code B           │                   ╲                   ╱
└──────────────────────┘                    ╰──────────────────╯
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┌──────────────────────┐        ┌──────────────────┐        ┌──────────────────┐
│ Center ECR Program   │        │       6.2         │        │ Draft ECR Program│
│ Implementation       │───────▶│ Develop Draft ECR │───────▶│ POP Guidance     │
│ Information           │        │ Program           │        └──────────────────┘
├──────────────────────┤        │ POP Guidance      │
│ Previous Year's Runout│        └──────────────────┘
└──────────────────────┘                 │
                                          ▼
                              ┌──────────────────┐
                              │       6.3         │
                              │ Coordinate POP    │
                              │ Guidance          │
                              │ with Enterprises  │
                              └──────────────────┘
                                          │
                                          ▼
┌──────────────────────┐        ┌──────────────────┐        ┌──────────────────┐
│ Coordination Comments │──────▶│       6.4         │───────▶│ ECR Program Input│
└──────────────────────┘        │ Revise/Finalize   │        │ to Agency POP    │
                                │ POP Guidance &    │        │ Guidance         │
                                │ Submit to Code B  │        └──────────────────┘
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                                          │
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┌──────────────────────┐        ┌──────────────────┐
│ Center POP Submittals │──────▶│       6.5         │
│ from Enterprises      │        │ Review, Validate  │
└──────────────────────┘        │ and Prioritize    │
                                │ Program           │
                                │ Requirements      │
                                │ Agencywide        │
                                └──────────────────┘
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                              ┌──────────────────┐        ┌──────────────────┐
                              │       6.6         │───────▶│ ECR Program Budget│
                              │ Develop Draft     │        │ Recommendations  │
                              │ Budget            │        └──────────────────┘
                              │ Recommendations   │
                              └──────────────────┘
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                              │       6.7         │
                              │ Present Budget    │
                              │ Recommendations to│
                              │ Enterprises &     │
                              │ Integrate Inputs  │
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Responsible Office: Code JE/Environmental Management Division
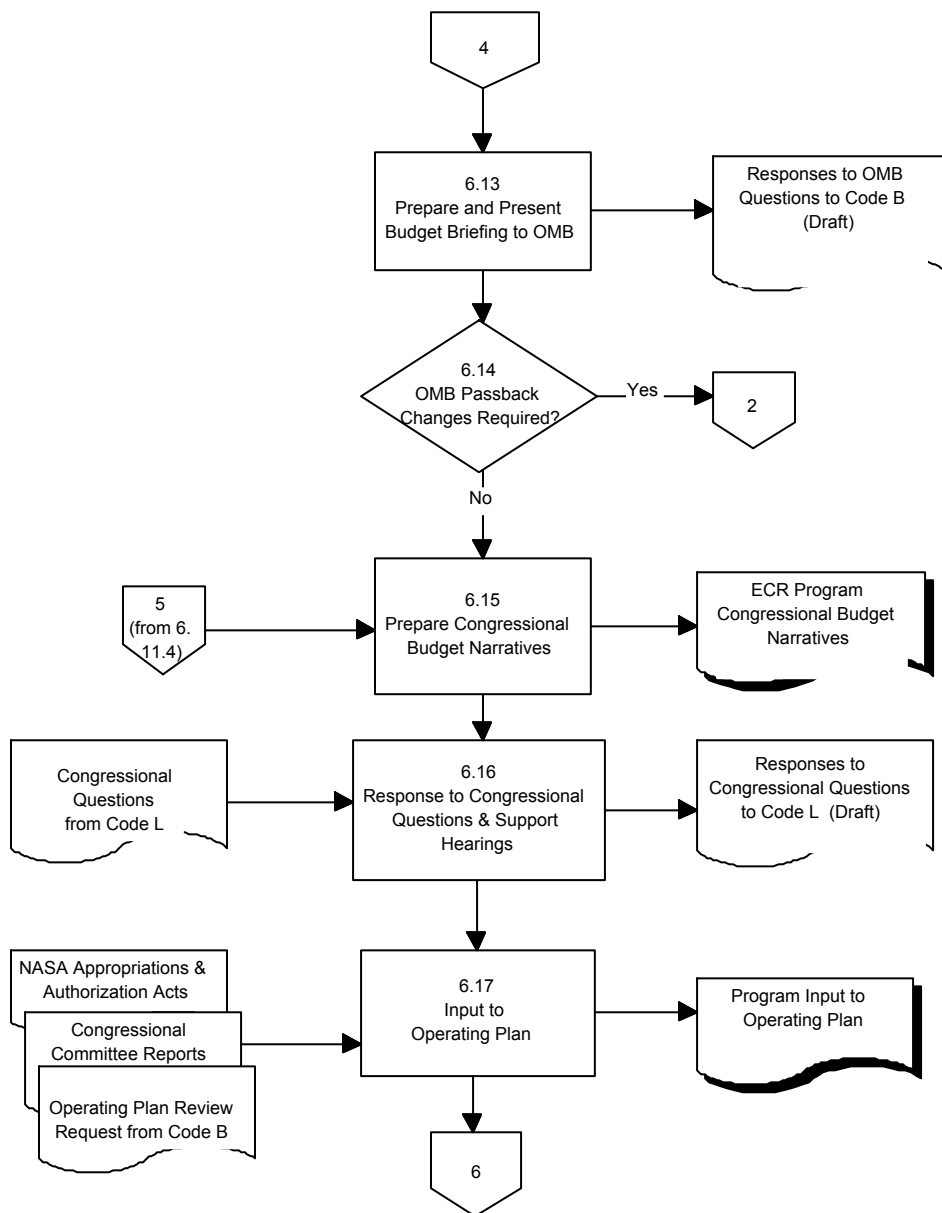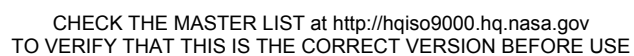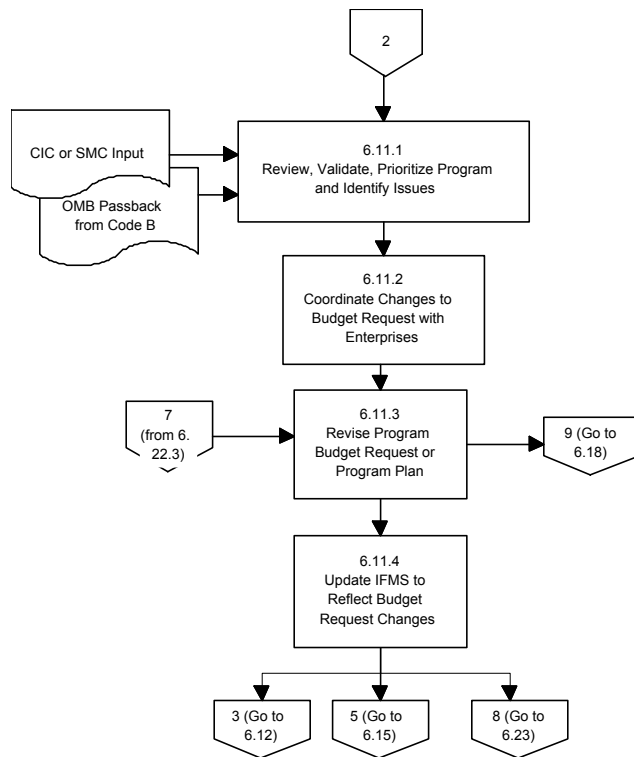**Subject: Environmental Compliance & Restoration Budget Formulation & Execution**

1

6.8
Prepare & Present
Budget Recommendations to EMB,
Incorporate Comments &
Request Concurrence

ECR Program Budget
Request

EMB Presentation
Minutes

No

6.8.1
Concurred?

Yes

6.9
Program Budget Request
Submittal to Code B

ECR Program Budget
Data to IFMS

ECR Program Budget
Formats

6.10
Present Budget Request
& Issues to CIC,
& if required to SMC

6.11
Impacts
to Budget Request?

Yes

2

No

3
(from
6.11.4)

6.12
Prepare OMB
Budget Narratives

ECR Program OMB
Budget Narratives

4

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        ┌──────────────────────────┐        ┌──────────────────────┐
        │          6.13            │        │  Responses to OMB    │
        │   Prepare and Present    │───────▶│  Questions to Code B │
        │  Budget Briefing to OMB  │        │       (Draft)        │
        └────────────┬─────────────┘        └──────────────────────┘
                     │
                     ▼
                 ╱───────╲
                ╱  6.14   ╲           ┌─────┐
        ┌──────  OMB Passback ──Yes──▶│  2  │
                ╲Changes Required?╱   └─────┘
                 ╲───────╱
                     │ No
                     ▼
┌─────────┐  ┌──────────────────────────┐   ┌──────────────────────┐
│    5    │  │          6.15            │   │   ECR Program        │
│ (from 6.│─▶│ Prepare Congressional    │──▶│ Congressional Budget │
│  11.4)  │  │   Budget Narratives      │   │    Narratives        │
└─────────┘  └────────────┬─────────────┘   └──────────────────────┘
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│Congressional│  │          6.16            │  │   Responses to       │
│ Questions   │─▶│ Response to Congressional │─▶│ Congressional Questions│
│ from Code L │  │  Questions & Support     │  │  to Code L  (Draft)  │
│            │  │      Hearings            │  │                      │
└────────────┘  └────────────┬─────────────┘  └──────────────────────┘
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│ NASA Appropriations│  │          6.17            │  │  Program Input to    │
│ & Authorization   │  │       Input to           │─▶│  Operating Plan      │
│    Acts           │  │    Operating Plan        │  │                      │
├──────────────────┤─▶└────────────┬─────────────┘  └──────────────────────┘
│ Congressional    │               │
│ Committee Reports │               ▼
├──────────────────┤            ┌─────┐
│ Operating Plan   │            │  6  │
│ Review Request   │            └─────┘
│ from Code B      │
└──────────────────┘
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6

Agency Approved Budget
(Appropriations / Authorization
Acts, Agency Initial Operating
Plan)

6.18
Request Resources
Authority Warrant &
Allotments

Resources Authority Warrant &
Center Allotment Request to Code B

9 (From 6.
11.3)

Resources Authority Warrant

Center Funds Requests

6.19
Review Requests Against
ECR Program Plan

6.20
Is it in the
Program?

No

6.21
Should it be in the
Program?

No

Yes

6.21.1
Notify Enterprise &
Center

Stop

6.22
Can it be worked
within Budget?

No

6.22.1
Request
Augmentation

6.22.2
Approved?

No

Yes

6.22.3
Revise
Operating Plan

Yes

7
(to 6.11.3)

8
(from 6.
11.4)

6.23
Process Center Funding
Requests & Prepare Funding
Approval Documents

Resources Authority
Warrants

ECR Program Activity
Approval Documents

6.24
Track Funding Levels,
Obligations & Costing

Stop

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┌──────────────┐        ┌──────────────────────┐
│ CIC or SMC   │───────▶│        6.11.1          │
│   Input      │        │ Review, Validate,      │
└──────────────┘        │ Prioritize Program     │
                        │ and Identify Issues    │
┌──────────────┐───────▶└───────────┬────────────┘
│ OMB Passback │                    │
│ from Code B  │                    ▼
└──────────────┘        ┌──────────────────────┐
                        │        6.11.2          │
                        │ Coordinate Changes to  │
                        │ Budget Request with    │
                        │ Enterprises            │
                        └───────────┬────────────┘
                                    │
┌──────────┐            ┌──────────────────────┐        ┌──────────┐
│    7     │            │        6.11.3          │        │ 9 (Go to │
│ (from 6. │───────────▶│ Revise Program         │───────▶│  6.18)   │
│  22.3)   │            │ Budget Request or      │        └──────────┘
└──────────┘            │ Program Plan           │
                        └───────────┬────────────┘
                                    │
                                    ▼
                        ┌──────────────────────┐
                        │        6.11.4          │
                        │ Update IFMS to         │
                        │ Reflect Budget         │
                        │ Request Changes        │
                        └───────────┬────────────┘
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        │ 3 (Go to │          │ 5 (Go to │          │ 8 (Go to │
        │  6.12)   │          │  6.15)   │          │  6.23)   │
        └──────────┘          └──────────┘          └──────────┘
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6.0 Procedure

- **ECR Program Budget Formulation - (Steps 6.1 thru 6.15)**

- **ECR Program Execution - (Steps 6.18 thru 6.24)**

<u>Step</u>   <u>Actionee</u>   <u>Action</u>

Step	Actionee	Action
6.1	Director, ECR Program Manager	**ECR Program Budget Formulation Starts**: The ECR Program Budget Formulation Process begins when the Code JE Director & the ECR Program Manager receive the annual POP Guidance Call from Code B. The POP Call provides information and schedules for the Agency Budget Formulation Process.
6.2	ECR Program Manager	The ECR Program Manager reviews Code B requirements in the POP Guidance Call for the budget year and starts developing the ECR Program POP Guidance. Information on the Center's Program implementation and the previous year's runout levels are used in the development of the Program POP Guidance. The POP Guidance describes data requirements, provides formats for data submission, and provides funding guidelines for each Center. The Draft Program POP Guidance is reviewed with the Code JE Director.
6.3	Director, ECR Program Manager	The Draft POP Program Guidance is discussed and coordinated with the Enterprise Program POCs.
6.4	ECR Program Manager	Taking into account comments received from Enterprise Program POCs, the POP Program Guidance is finalized, reviewed with the Code JE Director, and submitted to Code B as the ECR Program Input to the Agency POP Guidance.
6.5	ECR Program Manager	After receiving the Center POP Submittals from the Enterprises, the ECR Program Manager reviews, validates, and prioritizes the Center identified requirements based on the type and urgency of the requirements, regulatory and Agencywide impacts. Center requirements are discussed with Center POCs.
6.6	ECR Program Manager	Following Step 6.5, the ECR Program Manager develops the ECR Program Budget Recommendations. During this process, issues that may impact the budget are identified and noted. The Budget Recommendations are informally coordinated with Center POCs. The draft Program Budget Recommendations and any identified issues are reviewed and discussed with the Code JE Director.
6.7	Director, ECR Program Manager	Once the Program Budget Recommendations are prepared, the Code JE Director and ECR Program Manager present the Program Budget Recommendations applicable to each Enterprise, and any issues to the Enterprise POCs. Inputs received from the Enterprises are discussed and integrated in the Program Budget Recommendations, as needed.
6.8	ECR Program Manager Director	Prepare Program Budget Recommendations briefing for presentation to EMB and coordinate with Code JE Director. The Code JE Director, using the Video Teleconference System (ViTS) or other means available, presents the Program Budget Recommendations and any identified issues to the EMB. The Director requests comments on any additional issues from the EMB members. The Director requests the EMB members' concurrence with the Program Budget Recommendations.
6.8.1	Director	If concurrence is received, proceed to Step 6.9. If concurrence is not received, discuss and resolve. The concurred upon Program Budget Recommendations become the ECR Program Budget Request. EMB Presentation Minutes (report/tape) provide evidence of concurrence.
6.9	ECR Program Manager, Resources Team	Submit the Program Budget Request to Code B by loading the Program Budget Request data into the IFMS by Center, and providing requested Budget Formats with Program information to Code B. The Resources Team assists in loading the data and providing information to Code B.
6.10	Director, ECR Program Manager Director & AA	The Code JE Director and ECR Program Manager prepare the Program briefing for the CIC. The Director coordinates the briefing with the Code J AA. The Code JE Director presents the ECR Program Budget Request and any identified issues to the CIC. The Code J AA is present at the CIC briefing. The AA participates in the SMC meeting and defends the Program Budget Request, as required.
6.11	ECR Program Manager	Inputs received from the CIC or the SMC may impact the Program Budget Request. If impacted, proceed to Step 16.11.1 and initiate Program Review process through Step 6.11.4. If no inputs are received, proceed to Step 6.12.
6.11.1	ECR Program Manager	Inputs from the CIC and SMC (Step 6.11), or from the Office of Management and Budget (OMB) Passback (Step 6.14), may impact the Program Budget. The ECR Program Manager reviews, validates and prioritizes the Program Budget as required based on inputs, and incorporates CIC, SMC, and/or OMB (through Code B) direction.
6.11.2	ECR Program Manager	Resulting changes to the Program Budget Request from Step 6.11.1 are reviewed with the Code JE Director, and coordinated with the Enterprise POCs.

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6.11.3	ECR Program Manager	Revise the Program Budget Request based on the recommendations and/or changes identified in Step 6.11.2, as derived from activities in Steps 6.11 and 6.14; and proceed to Step 6.11.4. Or, revise the Program Plan based on revisions under Step 6.22.3 as derived from activities in Step 6.22.2; and proceed to Step 6.18.
6.11.4	ECR Program Manager	Update IFMS to reflect revisions in the Program Budget Request from prior steps. Proceed to Steps 6.12 or 6.15, as required.
6.12	ECR Program Manager	Prepare the Program Budget Request Narratives for the Agency OMB Budget Submittal and review with Code JE Director. The OMB Budget Narratives are sent to Code B for consolidation and incorporation into the Agency Budget submittal to OMB.
6.13	ECR Program Manager / Director / AA	The ECR Program Manager prepares the Program Budget Briefing for OMB and reviews with Code JE Director. The Code JE Director or AA presents the Program Budget Request to OMB staff. Code B prepares the Agency OMB Briefing Agenda. After OMB Briefings and OMB Budget submittal, questions relating to the Program may be received by Code B, which will request responses from Code JE. Responses to OMB questions are prepared and submitted to Code B for review and transmittal to OMB.
6.14	ECR Program Manager	OMB Passback information and guidance are received from Code B and Resources Team. If changes in the Program Budget Request are needed, proceed to Step 6.11.1 and initiate Program Review process. If no changes are required, proceed to Step 6.15.
6.15	ECR Program Manager	Prepare the Program Budget Narratives for the Agency Congressional Budget Submittal and review with Code JE Director. The Congressional Budget Narratives are sent to Code B for consolidation and incorporation into the Agency Budget submittal to Congress.
6.16	ECR Program Manager, Director	After the Congressional Budget submittal, Congressional questions relating to the Program may be received from Code L. Prepare responses to Congressional questions and review with Code JE Director. The Code JE Director through Code J Front Office submits the Draft Responses to Code L. Code L finalizes the responses to the Congressional questions and sends to Congress.
6.17	ECR Program Manager, Resources Team Leader	Based on NASA Appropriations and Congressional Committee Reports, Code B requests review of the Initial Agency Operating Plan. The Resources Team Lead and the ECR Program Manager review and prepare input to the Agency Operating Plan as required. The input is reviewed with the Code JE Director.
6.18	Resources Team, ECR Program Manager	**ECR Program Execution Starts:** Once the Agency receives budget approval supported by Appropriations/Authorization Acts, and the Agency Initial or revised Operating Plan, the Resources Team supporting Code JE requests the Resources Authority Warrant and Center Allotment Requests from Code B. The ECR Program Manager identifies Center Allotment Requests to the Resources Team.
6.19	ECR Program Manager	Once Resources Authority is received, review Center requests for funding against the ECR Program Plan for that specific year. ECR Program Manager coordinates with Center POCs.
6.20	ECR Program Manager	If the content of the Center request is within the Program Plan, and documentation is complete, validate and proceed to Step 6.23. If the request is not in the Program Plan, proceed to Step 6.21.
6.21	ECR Program Manager	If the request is not in the Program Plan, determine if it should be added to the Program. The evaluation is based on the type and urgency of requirements, regulatory and Agencywide impacts, funds availability, Program implementation and effects to Program Plan. This determination requires the ECR Program Manager to evaluate requirements in concert with Center and Enterprise POCs.
6.21.1	ECR Program Manager	If determination from Step 6.21 is that the request should not be part of the ECR Program, or if Program augmentation is denied following Step 6.22 or 6.22.2, notify the Center and Enterprise POCs.
6.22	ECR Program Manager	If determination is that the request should be part of the Program, ensure that it can be accommodated within the Program Plan. If determined that it can be worked within the Program Plan, proceed to Step 6.23. If determined that it cannot be worked within the Program Plan, proceed to 6.22.1.
6.22.1	Director, ECR Program Manager	If it is determined that it cannot be worked within the Program Plan, identify request for Program augmentation and discuss with Code JE Director. Program augmentation to be coordinated with Code B. This is an infrequent event in the Program.
6.22.2	ECR Program Manager	If Program augmentation is granted through Code B, proceed to Step 6.22.3. If Program augmentation is denied, proceed to Step 6.21.1.
6.22.3	ECR Program Manager	If Program augmentation is granted, coordinate revision to Operating Plan with Code B, and proceed to Steps 6.11.3 and 6.18.
6.23	ECR Program Manager, Resources Team, Director	Process Center funds requests. The ECR Program Manager requests preparation of funding documents to the Resources Team. The Resources Team verifies funds are available and prepares required funding documents. The ECR Program Manager coordinates required concurrences, including Code JE Director's approval.
6.24	ECR Program Manager	ECR Program Manager tracks Center Program funding levels planned and approved, obligations, and costing against the ECR Program. Identified problems are coordinated with Center POCs.

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7.0   Quality Records

Record ID	Owner	Location	Record Media	NPG 1441.1 Schedule & Item Number	Retention/Disposition
ECR Program Input to Agency POP Guidance	Code JE	Code JE	Electronic	Schedule 7, Item 22	Destroy when 5 years old.
ECR Program Budget Request	Code JE	Code JE	Electronic	Schedule 9, Item 2	Destroy when superseded, no longer needed, or when 5 years old.
EMB Presentation Minutes	Code JE	Code JE	Hard Copy / Tape	Schedule 9, Item 2	Destroy when superseded, no longer needed, or when 5 years old.
ECR Program Budget Formats	Code JE	Code JE	Electronic	Schedule 9, Item 2	Destroy when superseded, no longer needed, or when 5 years old.
ECR Program OMB Budget Narratives	Code JE	Code JE	Electronic	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
ECR Program Congressional Budget Narratives	Code JE	Code JE	Electronic	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
Program Input to Operating Plan	Code JE	Code JE	Hard Copy	Schedule 7, Item 21F	Destroy 1 year after the close of the fiscal year covered by the budget.
Resources Authority Warrants	Code JE	Code JE, JX	Hard Copy	Schedule 7, Item 24A	Records may be retired to an FRC or approved storage facility one year after fiscal year in which account is closed. Destroy records 5 years after fiscal year in which account is closed.
ECR Program Activity Approval Documents	Code JE	Code JE, JX	Hard Copy	Schedule 7, Item 10A	Permanent. Retire files by FY to FRC when no longer needed for active reference or when 8 years old, whichever is sooner. Transfer to NARA when 25 years old.